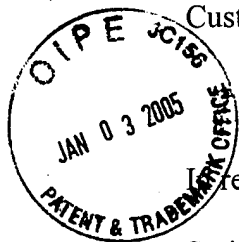


Customer No. 31013

Attorney Docket No. 099782/00002

3028
[Signature]



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Inventor Application of : James G. Squyres

Serial No. : 09/900,724

Filed : July 6, 2001

For : METHOD AND SYSTEM FOR COMPARISON AND
EVALUATION OF INVESTMENT PORTFOLIOS

Examiner : To be assigned

Group Art Unit : 3628

Commissioner for Patents
P.O. Box 1450
Alexandria, Virginia 22313-1450

CERTIFICATE OF MAILING UNDER 37 C.F.R. § 1.8

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as First Class Mail in an envelope addressed to Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on December 30, 2004.

Signature: [Signature]

Jonathan S. Caplan
Reg. No. 38,094

PRELIMINARY AMENDMENT

Sir:

Prior to the issuance of a first office action, please amend the above-identified application as follows:

Amendments to the Specification begin on page 2 of this paper.

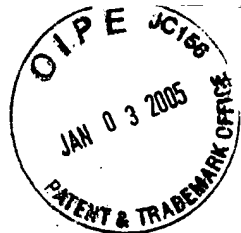
Amendments to the Claims begin on page 3 of this paper.

Remarks begin on page 9 of this paper.

01/03/2005 ZJUHA1 00000049 09900724

01 FC:1202
02 FC:1622

450.00 OP
75.00 OP



Customer No. 31013

Docket No.: 099782/00002

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: James G. Squyres

Serial No.: 09/900,724

Filed: July 6, 2001

Examiner: To be assigned

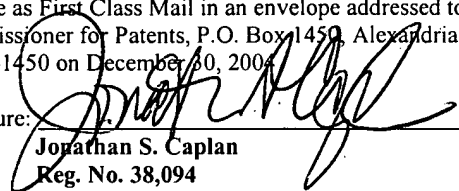
Group Art Unit: 3628

For: METHOD AND SYSTEM FOR COMPARISON AND EVALUATION
OF INVESTMENT PORTFOLIOS

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

CERTIFICATE OF MAILING UNDER 37 C.F.R. § 1.8

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as First Class Mail in an envelope addressed to Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on December 30, 2004.

Signature: 

Jonathan S. Caplan
Reg. No. 38,094

TRANSMITTAL LETTER

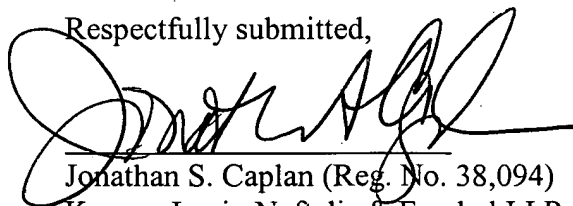
Sir:

Transmitted herewith is:

- ☒ Preliminary Amendment
- ☒ Certificate of Mailing dated December 30, 2004
- ☒ Kramer Levin Naftalis & Frankel LLP check for \$525.00
- ☒ Return Receipt Postcard

Date: December 30, 2004

Respectfully submitted,



Jonathan S. Caplan (Reg. No. 38,094)
Kramer Levin Naftalis & Frankel LLP
919 Third Avenue
New York, N.Y. 10022
(212) 715-9100 (telephone)
(212) 715-8000 (facsimile)